



ENVIRONMENTAL | UNIVERSITY OF
DESIGN | CALGARY

FACULTY OF ENVIRONMENTAL DESIGN (EVDS) Guidelines for Academic Appointment Review and Renewal Section 5 of the APT Manual

INTRODUCTION

The policies and procedures of the University of Calgary as described in the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual) must be applied. In the event of any conflicts between these guidelines and the policies and procedures of the University of Calgary, the latter shall prevail.

The purpose of this document is to formalize procedures whereby the Faculty of Environmental Design may ensure fairness of process and a just result both to the University and to a Faculty member applying for tenure or a renewal of an Initial Term. The values informing the provisions below include the need to follow University policy, expressed in the APT manual; the desire to apply consistently rigorous standards of review, while acknowledging the variety of circumstances and criteria suitable for different disciplines and career paths; the need to provide applicants with an unbiased review based upon fairly gathered and known types of information; and the acknowledgement that the granting of tenure or the renewal of an Initial Term is contingent upon the applicant's case being persuasive (APT Manual 5.6.1 & 5.7.5.4).

Normally, Initial Term appointments are for four years, with the expectation that Assistant Professors will apply for a two-year renewal of that term. When the candidate applies for tenure, the Academic Appointment Review Committee may extend the Initial Term appointment for one year.

DEFERRAL

APT 5.4.7 At any time prior to May 1st, an academic appointee in the normal year for consideration for renewal of initial Term or for an appointment *With Tenure* may be granted the following types of deferral:

- a) *Personal Deferral*: An academic appointee may defer consideration for a period of one year by notifying the Dean (or equivalent) in writing. This deferral may occur at the time of renewal of Initial Term or on appointment *With Tenure*, but not for both.
- b) *Dean's Deferral*: A Dean (or equivalent) may initiate a one-year deferral when appropriate for compassionate reasons, or to facilitate the completion of an assisted study leave. Should a Dean's deferral be required more than once, the Dean (or equivalent) shall consult with the Provost & Vice-President (Academic).
- c) *Parental Deferral*: Maternity and/or Parental Leaves shall result in automatic one-year deferral of consideration for renewal of Initial Term or for an appointment *With Tenure*. Note: This deferral does not preclude the academic staff member from applying for consideration for renewal of Initial Term or for an appointment *With Tenure* according to original timelines, applying for early consideration, or being eligible for subsequent deferrals.
- d) *Provost Deferral*: In exceptional circumstances, the Provost & Vice-President (Academic) may approve or initiate a one-year deferral of consideration for renewal of Initial Term or for an appointment *With Tenure*.

5.4.8 In all types of deferral, the Initial Term appointment shall be extended for one year beyond the termination date. Such deferral, regardless of the number of times granted, shall not interfere with the right of the Academic Appointment Review Committee to grant an extension of an Initial Term appointment under Section 5.7.6.1 b) of the APT Manual.

EARLY CONSIDERATION

5.4.9 While the above procedures represent usual practice, an individual may be offered appointment *With Tenure* either upon appointment or at an earlier date than that arising from the original appointment.

5.4.10 An appointment *With Tenure* may be offered upon appointment only if so recommended to the Dean by an appropriate standing committee of the Faculty or by the Selection Committee specifically applying the appropriate criteria.

5.4.11 An appointment *With Tenure* may be offered at a date earlier than provided for in the appointment letter if the academic appointee has formally requested that the case be considered by an Academic Appointment Review Committee at an earlier date. Procedures in any case of early consideration shall be the same as for normal consideration. The options available to an Academic Appointment Review Committee in a case of early consideration shall be those set out in Section 5.7.6.1 (c-f).

5.4.12 At any time prior to May 1, an academic appointee who applied for early consideration may withdraw the application. This withdrawal does not constitute a deferral. However, if the withdrawal occurs after February 1, the application counts as one of the maximum of two allowed under Section 5.7.6.2 of the APT Manual.

5.6 REVIEW OF CONTINUING APPOINTMENTS (TEACHING AND RESEARCH)

5.6.1 A recommendation for the continuation of an Initial Term appointment or for an appointment *With Tenure* shall be decided upon only after careful consideration. In all cases, the general principle shall be applied that the case must be made by the applicant to the satisfaction of the Academic Appointment Review Committee and the Dean to justify a recommendation for the granting of an appointment *With Tenure*.

5.6.2 The process of consideration shall normally be initiated early in the Fall term of the penultimate year of a current appointment.

5.6.3 Early in the Fall term, the Dean shall inform all academic appointees eligible for consideration for renewal of an Initial Term or for consideration for appointment *With Tenure* (excluding those persons who have received approval for deferral of consideration) of the procedures to be followed, and shall provide them with the necessary application forms and Faculty guidelines.

5.6.4 The Dean shall also inform all academic appointees who have indicated an interest in early consideration for an appointment *With Tenure* of the procedures to be followed, and shall provide them with the necessary application forms and Faculty guidelines.

5.6.5 In Faculties or other units without a formal departmental structure, the Dean may fulfill the role of the Head as set forth in APT Sections 5.6.6 to 5.6.21 or may delegate this to an appropriate individual such as an Area Chair, a Program Director, an Area Co-ordinator, an Associate Dean, or equivalent. The word "Head" in Sections 5.6.6 to 5.6.21 refers to the person fulfilling the role of the Head.

5.6.5.1 If the Dean chooses to fulfill the role of Head in the review of Continuing appointment process, the Chair of the AARC shall forward the Committee's recommendation directly to the Provost & Vice-President (Academic).

COMPOSITION OF ACADEMIC APPOINTMENT REVIEW COMMITTEE

5.7.4.1 An Academic Appointment Review Committee (AARC) in the Faculty of Environmental Design is advisory to the Dean and shall be composed as follows:

- a) the Dean or delegate (Chair);
- b) four academic appointees holding appointments With Tenure, at least one of whom must be from outside the Faculty and at least one of whom must hold an Associate or Full Professorship, all elected by the Faculty Council; (Two alternative Faculty of Environmental Design faculty representatives will also be elected by the Environmental Design Faculty Council in the event that elected faculty representatives are unable to serve.);
- c) one or two academic members appointed by the Dean;
- d) Associate Dean (Academic) and Associate Dean (Research and International) as participating but non-voting members
- e) a member appointed by the Faculty Association, who shall be present as a participating but non-voting member of the Committee.
- f) one student member from the Faculty of Environmental Design, elected by the Faculty Council, as a voting member; (One alternative student representative will also be elected by the Environmental Design Faculty Council in the event that an elected student representative is unable to serve.)

Both genders shall be represented on the Committee.

In years where more than one Faculty member is being reviewed, it is intended that the same Committee shall consider all applications. In all cases, at least one of the Faculty members from within the Faculty must be from the same program, or must profess in the same discipline, as any candidate being reviewed. Whenever possible, the student member's Program of Study should include courses in the same program or discipline as that professed by a candidate being reviewed.

5.7.4.2 The quorum for the AARC shall be in accordance with section 5.7.4.2 of APT. When an elected member is unavailable for medical or other reasons the Dean may appoint to AARC an alternative representative as elected by EVDS Faculty Council.

5.7.4.6 Once the Committee is constituted, the Dean shall notify the applicant, in writing, of its composition. An applicant may, for cause and in writing, within one week of notification, request the Dean to disqualify and arrange the replacement of any member of the Committee. In ruling on such requests, the Dean may consult with concerned individuals and shall consider whether a reasonable apprehension of bias has been established.

A candidate who does not make such a request for the disqualification of a member of the AARC shall be deemed to have accepted the fairness of the Committee's composition.

SELECTION OF REFEREES (this Section accords with Faculty Council Resolutions of 1994.3.24)

The Faculty of Environmental Design shall obtain signed written advice from three referees when applications for tenure are being considered. One referee, appointed by the Dean, must be a Faculty member from the Faculty of Environmental Design or from elsewhere at The University of Calgary and two will be eminent academics or professionals in the discipline or field of study, from outside this University. Normally, it is expected that these referees will not have had a close personal or professional relationship with the candidate. These individuals shall be invited to assess the quality and progress of the

candidate's creative activity, including scholarship, research and/or professional performance in accordance with the criteria for the appropriate rank, as set out in sections 3 and 5.7.5.2 of the APT Manual. By April 1, the Chair of the AARC shall supply these letters to the Associate Deans who will use them when writing the assessment and recommendation. [APT 5.6.13]

An Advisory Committee struck by the Dean for each candidate shall submit the names of three possible referees external to the campus, in the general area of the candidate's discipline and with reference to an area of specialization if appropriate. The candidate will also be asked to submit a list of three possible referees based on the same criteria. In the case of overlap or duplication, the Dean may request the Advisory Committee to augment the list. [APT 5.6.14]

In the case of an Instructor being considered for an appointment with tenure, the Dean shall adapt the process outlined above to meet the requirements of APT 5.6.16.

If there is evidence of possible bias, personal hostility or lack of appropriate expertise in either of the Advisory Committee's list or the Dean's selection, the candidate may challenge for cause.

The Advisory Committee will select one name from the candidate's list and the candidate will select one name from the Committee's list. The Dean will select one referee from tenured Faculty, either within Environmental Design or from elsewhere in the University. The names of the referees shall be made known to the candidate.

The external referees will be made aware that a) the referee process is not anonymous (the candidate knows that they have been solicited) and b) that their assessment and recommendation will be held confidential to AARC (i.e. not conveyed to the candidate).

RESPONSIBILITIES OF THE CANDIDATE APT 5.6.11 and 5.7.5

5.6.11 On or before December 1, all academic appointees who wish to be considered for an appointment *With Tenure* shall submit a letter of intent and a curriculum vitae to the Chair of the Academic Appointment Review Committee, who will use these in selecting referees

5.6.12 On or before February 1, all academic appointees who wish to be considered for an appointment *With Tenure* shall submit their application form, an updated curriculum vitae, relevant research / publication materials, and other materials as specified below:

In order to ensure that informed opinion of students and colleagues concerning teaching performance is taken into account by the AARC, candidates for tenure are expected to submit to the Dean's office with the application a teaching dossier or other materials providing evidence of teaching effectiveness. For more information about teaching dossiers, please review 'Recording Teaching Accomplishment: A Dalhousie Guide to the Teaching Dossier' available in the Office of the Faculty Association.

Peer-reviewed items which fairly represent the breadth and depth of their scholarly and creative activity. In accordance with the criteria for assessing scholarly and creative activity (see *ACCOMPLISHMENTS IN SCHOLARSHIP, RESEARCH AND CREATIVE ACTIVITY* herein), these items may include published books, articles, chapters or conference papers, copies or photographs of plans, designs, models, prototypes or other artifacts, exhibitions, design competition entries, computer programs and other digital products, video or other work appropriate to the candidate's field and suitable for distribution to referees. Copies of these items, the curriculum vitae and the application for tenure will be dispatched to the referees.

5.6.17 Candidates may submit to the AARC ancillary material, such as reviews of books, letters from assessors of articles, comments from chairs of committees, which will enable the AARC better to understand and evaluate candidates' work in the areas of teaching, scholarship and creative activity and service.

RESPONSIBILITIES OF THE ASSOCIATE DEANS

- 5.6.18 The Associate Deans will post and distribute announcements soliciting such signed input from students, alumni, staff and faculty members. The Associate Deans will make available the applicant's c.v. and relevant research publications for inspection, for a period of at least two weeks, by those from whom input was invited.
- c) In soliciting this input the Associate Deans shall invite the applicant to suggest who outside the Faculty of Environmental Design would have direct knowledge of the applicant's academic work. Signed input would also be invited from these individuals as well as such others as the Associate Deans deem appropriate.
 - e) The Associate Deans advice to the AARC shall describe steps taken to obtain relevant information.
 - f) In addition to summarizing in the assessment and recommendation the contents of all signed material they receive, the Associate Deans shall submit the original documents to the AARC. All submissions received will be confidential to the Associate Deans and the AARC. Copies of submissions shall not be shown to the candidate, except where the signer explicitly signifies consent.
- 5.6.19 The Associate Deans are jointly responsible for submitting to the AARC, through the Dean, an assessment and recommendation concerning an application for tenure. In preparing such advice, they must consider all material submitted by the candidate, the letters from referees, all course evaluations for courses taught or managed by the candidate, and any signed input sent to them.

In accordance with 5.6.19 of the APT Manual, the Associate Deans' advice to the AARC shall be supplied to and discussed with the candidate. By April 15, following the discussion the Associate Deans may revise the assessment and/or recommendation. The applicant must receive a copy of any revisions at least one week before May 1.

RESPONSIBILITIES OF THE AARC CHAIR

In order to ensure fair treatment of the candidate and to facilitate the AARC's decision on the merits of the case, the Chair or any other member of the AARC may at any time raise for consideration and decision by majority vote matters of procedure or the admissibility of information not covered by the provisions of this AARC Manual. Where appropriate, the candidate may be consulted on an issue.

RESPONSIBILITIES OF THE AARC

- 1) The AARC is responsible for making recommendations to the Dean concerning applications for renewal of initial term in accordance with APT 5.6.6 to 5.6.10 and applications for appointment with tenure in accordance with APT 5.6.11 to 5.6.21.
- 2) Members of the AARC are to apply their best academic judgment in an unbiased manner on the information provided.
- 3) The Faculty of Environmental Design also directs that its Academic Appointment Review process be sensitive to the possibility of various career paths. The provisions in this manual should be applied flexibly so as to respond to the situations of, inter alia, part-time Faculty members or persons whose careers have been delayed or interrupted by familial or financial exigencies, or by illness or disability.

In these circumstances, the time allowed before tenure is considered should be lengthened (subject to University policy): for example, for part-time Faculty, the years of service shall be the duration of the part-time appointment divided by the ratio of part-time / full-time.

MATERIAL TO BE CONSIDERED BY THE COMMITTEE

The AARC shall not receive or consider anonymous submissions, except that material in course evaluations shall be given appropriate weight. The committee shall consider the material submitted by the candidate, materials submitted by the Associate Deans (including original, signed letters from referees and others solicited as per 5.6.18 and the candidate's appointment letter). As well, it may consider the performance of the candidate in the three areas of teaching, scholarly activity and service as understood by members of the Committee.

PERFORMANCE ASSESSMENT

Please review the APT Manual SECTION 3: CRITERIA FOR APPOINTMENT, TENURE, MERIT ASSESSMENT AND PROMOTION.

ACCOMPLISHMENTS IN FACILITATING LEARNING

- 1) The Faculty of Environmental Design acknowledges the importance of teaching and supervision, and other modes of facilitating learning. In light of the variety of modes and paths to excellence in this area, a variety of criteria and types of information may be incorporated in assessing performance in this area.
- 2) Effectiveness in facilitating learning should normally be measured by the quality and pattern of development in skills and practice in these various modes, as documented in the teaching dossier. Modes to be considered include, but are not limited to, course and curriculum development, course teaching, supervision, advising and providing a role model for students, and course evaluation methods.
- 3) Formal review by peers and students is normally expected and will be highly valued by the Committee. The assessment of the quality and significance of modes of facilitating learning will vary with the modes, but may include such factors as effectiveness and clarity of presentation; suitability of readings and assignments; effectiveness of teaching methods including the development or use of innovation; timeliness, clarity, rigour and reasonableness in evaluating student work; quality of supervision provided for Master's Degree Project and PhD students; quality, degree and level of advising support; quality of role modeling; appropriate inclusion of students in research, creative and professional practice activities; and the use in instruction of examples and insights gained from innovative professional practice.
- 4) In order to facilitate the assessment of teaching performance, periodic reviews throughout the initial term (and any extensions), including in-class observations by the Associate Deans, invited others and students, written feedback and documented opportunities for further professional development should be provided. To further facilitate the assessment of teaching performance, it is the obligation of all faculty members in Environmental Design to attend classes when invited by colleagues to observe and give a written critique of the person's teaching effectiveness. This material can then be included in a candidate's teaching dossier as evidence of peer-reviewed performance in the vital teaching role.
- 5) Where material submitted to the committee by the candidate or the Associate Deans includes signed comments from students or others concerning the various indicia of performance in facilitating learning, the means by which this material was obtained must be described, including the overall number of submissions received.
- 6) Contributions to facilitating learning in higher education through professional work are also to be recognized, as contemplated in s. 3.2.5 of the APT Manual. Possible forms of activity include, but are

not limited to, development of continuing education curricula or certification examinations for professional associations or bodies, and organization and presentation of seminars, workshops and short courses for persons outside programs leading to degrees.

- 7) Participation in team or interdisciplinary teaching is encouraged in the Faculty of Environmental Design. The extent and nature of the individual contribution should be considered. Additionally, the quality of work from which an individual component cannot be disaggregated will also be attributed appropriately to the candidate. It is acknowledged that synergistic collaboration may result in a contribution beyond the nominal expertise of a participant. The committee may seek input from the candidate's colleagues in the collaboration.
- 8) Although the AARC's prime concern about facilitating learning is its quality, the APT Manual 5.7.5.2 also requires that, given the applicant's quality and pattern of career performance, there is a substantial likelihood that the applicant will be able to sustain a career as a productive researcher effective teacher, and active contributor to the University of Calgary community. Course assignments and supervisory loads are recognized to be largely beyond the control of the candidate; however, evidence of both willingness and ability to continue to improve the nature of contributions to the Faculty in these areas is important.

ACCOMPLISHMENTS IN SCHOLARSHIP, RESEARCH AND CREATIVE ACTIVITY

- 1) The Faculty of Environmental Design acknowledges the importance of the scholarship of synthesis, of application, of dissemination and of teaching, as well as the scholarship of discovery.
- 2) As stated in the APT Manual 3.3, scholarship, research and other creative activity should normally be measured by the quality and pattern of the candidate's work, recognizing the appropriate media and outlets for communication with peers in the relevant disciplines. The underlying principle of evaluation is that juried, prize-winning, peer-reviewed or otherwise publicly acknowledged work provides the best evidence of scholarly, creative or professional competence.
- 3) Formal review by informed peers from the appropriate disciplinary or interdisciplinary community is normally expected, prior to or as a result of presentation, publication, distribution, or exhibition. The assessment of the quality and significance of scholarship, research and other creative activity will depend on factors that include but are not limited to peer review, length, magnitude, breadth, appropriateness of research design and methodology, type and level of venue, scholarly or critical reception and type of presentation.
- 4) Notwithstanding the general expectation of peer review, it is acknowledged that in some fields the publication or dissemination of the products of scholarship, research and other creative activity occurs in other than refereed venues. In this case, the reception of the work in the relevant community shall be of considerable importance. In addition, certain forms of scholarship, particularly that of synthesis, application and teaching may appropriately be disseminated through popular or non scholarly educational vehicles, although this sort of dissemination is not sufficient in itself to merit the granting of tenure.
- 5) Modes of expression and of dissemination of scholarship, research and other creative activity may include but are not limited to the preparation of books, monographs, articles, conference papers or presentations, plans, models, designs, prototypes or other artifacts, exhibitions, design competition entries, films, video productions or other forms of electronic communication. Editorship of a journal or receipt of research grants or a patent is also considered as evidence of scholarship, as is the adoption of materials by other institutions.

- 6) Contributions to relevant professional disciplines are also to be recognized, as contemplated in 3.3.4 of the APT Manual. In the Faculty of Environmental Design, creative professional applications through outlets or media which involve an informed peer review will be recognized, so long as they are of high quality, are acknowledged contributions to the field and flow primarily from research. As well as items listed in the previous paragraph, possible forms of the contributions include but are not limited to consulting reports, court testimony, participation in public hearings or major public participation or review processes.
- 7) Participation in interdisciplinary group endeavours is encouraged in the Faculty of Environmental Design. The extent and nature of the individual contribution may be considered. Additionally, the quality of work from which an individual component cannot be disaggregated will also be attributed appropriately to the candidate. It is acknowledged that synergistic collaboration may result in a contribution beyond the nominal expertise of a participant. The committee may seek input from the candidate's colleagues in the collaboration.
- 8) Although the AARC's prime concern about scholarship, research and other professional or creative activity is its quality, APT Manual 5.7.5.2 also requires that, given the applicant's quality and pattern of career performance, there is a substantial likelihood that the applicant will be able to sustain a career as a productive researcher, effective teacher, and active contributor to the University of Calgary community. The Faculty of Environmental Design considers that, normally, a candidate should be able to report at least 4-5 peer-reviewed pieces of work which have been appropriately disseminated within the public domain. A major book or other opus may be considered by the Committee to meet this requirement.

ACCOMPLISHMENTS IN SERVICE

- 1) While teaching and research (teaching for Instructor ranks) are of fundamental importance in tenure considerations each applicant is also expected to have demonstrated accomplishments in service. A record of service contributions and accomplishments should be included in the application.

INTERNATIONALIZATION (see "An Internationalization Plan for The University of Calgary" Jan. 8, 1996 Goal 3 item ii)

In accordance with the University's Internationalization Plan, any candidate's achievements reported in relation to the requirements of sections 9 or 10 shall be weighted significantly more heavily if they involve international work. Among the matters to be considered by the Committee when making its evaluation are the effort involved in, and the scope and results of, the international work.

THE POSSIBILITY OF AN ADVERSE DECISION

- 5.7.5.5 Whenever it appears that the AARC is likely to make a recommendation which is less favourable to the candidate than the recommendation sought by him or her, the Chair shall call a recess and inform the candidate in writing, with a copy to all members of the AARC of the deficiencies identified by the Committee, including the substance of adverse comments made by the referees or other persons.
- 5.7.5.6 The candidate and the Associate Deans shall have one week from receipt of the Chair's letter to respond in writing to the Chair. The candidate and Associate Deans shall be invited to appear together before the Committee at the outset of the next meeting. The candidate may be accompanied by an advisor, who shall be a Continuing member of the academic staff. At least one day prior to meeting with the Committee the candidate must inform the Chair of the name of the advisor. The candidate and the Associate Deans may obtain an extension of the one-week period provided they and the Chair agree.
 - a) The purpose of inviting the candidate and Associate Deans to attend is to provide an opportunity for the clarification of factual information about the concerns identified in the letter to the candidate.

- b) The candidate shall be permitted, if s/he wishes, to make a brief statement that responds to the concerns identified in the letter to him or her.
- c) The Associate Deans shall be permitted, if they wish, to make a brief statement that responds to the concerns identified in the letter.
- d) The Committee shall interview the candidate and the Associate Deans, in each other's presence, on the matters identified in the letter or other matters raised by the candidate in her or his statement. Questions that are not directly relevant to these matters are out of order. Responses are to be directed to the Committee.
- e) After Committee members are satisfied that they have had sufficient opportunity to ask questions, the candidate and the Associate Deans shall be asked to leave and the Committee will meet in camera to deliberate.
- f) If, after reasonable efforts are made to arrange attendance, either or both parties do not attend the meeting, the Committee is empowered to act in her, his or their absence.

Upon completion of its deliberations, the Committee shall promptly recommend to the Dean whether and on what terms a Continuing appointment should be offered to the candidate, in accordance with APT 5.7.6.

5.7.6.2 An academic appointee may apply for appointment With Tenure a maximum of two times. In the case of an applicant who follows the normal schedule, the Initial Term appointment may be extended only once. Extension shall be granted only on academic grounds.

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